

Application for Federal
Assistance (ED 424)
Application Information



U.S. Department of Education
Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

2168

Legal Name: Syracuse City School District
Address: 725 Harrison Street
City: Syracuse State: NY County: Onondaga ZIP Code + 4: 13210 - 4
Applicant's D-U-N-S Number: (b)(2)
Applicant's T-I-N: 15-6010157
Catalog of Federal Domestic Assistance #: 84359A
Title: Smaller Learning Communities Implementation
Project Director: Michael Puntschenko
Address: Syracuse City School District, 725 Harrison Street
City: Syracuse State: NY ZIP Code + 4: 13210 - 4
Tel. #: (315) 435-5840 Fax #: (315) 435-4025
E-Mail Address: mpunts44@scsd.us
Organizational Unit: Department of Special Revenue
Is the applicant delinquent on any Federal debt? ☐ Yes ☒ No
Type of Applicant (Enter appropriate letter in the box.) K
A State B Local C Special District D Indian Tribe E Individual F Independent School District
G Public College or University H Private, Non-Profit College or University I Non-Profit Organization J Private, Profit-Making Organization K Other (Specify): Public School District: political subdivision of municipality (City of Syracuse)

Application Information

9. Type of Submission:
PreApplication Application
☐ Construction ☐ Construction
☐ Non-Construction ☒ Non-Construction
10. Is application subject to review by Executive Order 12372 process?
☐ Yes (Date made available to the Executive Order 12372 process for review):
☒ No (If "No," check appropriate box below.)
☒ Program is not covered by E.O. 12372.
☐ Program has not been selected by State for review.
11. Proposed Project Dates: Start Date: 9/1/2004 End Date: 8/31/2007
12. Are any research activities involving human subjects planned at any time during the proposed project period?
☐ Yes (Go to 12a.) ☒ No (Go to item 13.)
12a. Are all the research activities proposed designated to be exempt from the regulations?
☐ Yes (Provide Exemption(s) #):
☐ No (Provide Assurance #):
13. Descriptive Title of Applicant's Project:
Syracuse City School District's Smaller Learning Communities Implementation Project

Estimated Funding

14a. Federal	\$	1,200,000.00
b. Applicant	\$	(b)(4)
c. State	\$.00
d. Local	\$.00
e. Other	\$.00
f. Program Income	\$.00
g. TOTAL	\$	(b)(4)

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.
a. Authorized Representative (Please type or print name clearly.)
Dr. Stephen C. Jones
b. Title
Superintendent of Schools
c. Tel. #: (315) 435-4161 Fax #: (315) 435-4015
d. E-Mail Address: sjones17@scsd.us
e. Signature of Authorized Representative
Date: 4/27/2004

Syracuse City School District

**Application for Funding of Smaller Learning Communities Implementation Project
2004-2007**

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b. SLC Program Grant Application Coversheet

Coversheet**Smaller Learning Communities (SLC) Program
Grant Application Package**

1. Type of grant applied for. (Check one.)

____ Application for Planning Grant

X Application for Implementation Grant

2. LEA Name and Address:

Syracuse City School District
725 Harrison Street
Syracuse, New York 13210

NCES District ID (for help, please see <http://www.nces.ed.gov/globallocator>):

3. Name and Address of Each School Named in the
Accompanying SLC Application:

Name	Address	No. of students enrolled
1. Corcoran High School	919 Glenwood Avenue Syracuse, New York 13207	1,421
2. Fowler High School	227 Magnolia Street Syracuse, New York 13204	1,272
3. Henninger High School	600 Robinson Street Syracuse, New York 13206	1,653
4. Nottingham High School	3100 East Genesee Street Syracuse, New York 13224	1,246

**U.S. DEPARTMENT OF EDUCATION**

OMB Control Number: 1890-0004

BUDGET INFORMATION**NON-CONSTRUCTION PROGRAMS**

Expiration Date: 02/28/2003

Name of Institution/Organization
Syracuse City School District

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	103,256	98,566	76,589			278,411
2. Fringe Benefits	21,296	20,787	18,414			60,497
3. Travel	54,053	43,222	30,225			127,500
4. Equipment	167,800	53,000	15,000			235,800
5. Supplies	102,500	75,000	31,344			208,844
6. Contractual	91,300	46,300	46,300			183,900
7. Construction	73,500	0	0			73,500
8. Other						0
9. Total Direct Costs (lines 1-8)	613,705	336,875	217,872	0	0	1,168,452
10. Indirect Costs	16,570	9,096	5,882			31,548
11. Training Stipends						0
12. Total Costs (lines 9-11)	630,275	345,971	223,754	0	0	1,200,000

Name of Institution/Organization Syracuse City School District		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	(b)(4)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						
SECTION C - OTHER BUDGET INFORMATION (see instructions)						

Program Abstract

The Syracuse City School District, the 5th largest district in New York State, serves 21,298 urban students, of whom 5,592 are currently enrolled grades 9 through 12 at four large high schools. The student population is highly diverse in that 60.3% are minorities, 56% are eligible for free or reduced-price lunch, 3.6% are English language learners and 27.3% receive special education services. All four high schools have been designated Schools Requiring Academic Progress under New York State's component of the NCLB Accountability System, three for performance in English language arts (ELA) and one for performance in both ELA and mathematics.

Over the past several years, the Syracuse City School District has worked to examine and redesign the current high school structure to better meet the needs of its student population. The District's planning efforts culminated this past year when it received a Smaller Learning Communities Planning Grant. The SLC funds have been used by the high schools to complete viable plans for implementation in September 2004. Funding of a Smaller Learning Communities Implementation Grant will allow the four high schools to implement their plans, which will result in achievement of the following goals and objectives:

Goal #1: Collaboratively refine and effectively implement SLC structures in all high schools

- Align curriculum with NYS standards & assessments.
- Align curriculum to reflect the needs of the workforce.
- Implement Freshman Academies and Career Academies in all 4 high schools.
- Provide more focused curriculum reflecting business and industry standards in addition to NYS standards.
- Help teachers optimize instructional delivery through ongoing professional development and support.
- Implement more research based teaching strategies.

Goal #2: Improve student achievement and performance to meet or exceed local, state and national standards

- Increase student performance on NYS Regents examinations to meet or exceed NYS Standards.
- Increase student attendance rates.
- Increase student graduation rates.
- Increase the number and percentage of students meeting promotional requirements in grades 9-12.
- Increase the rate of students who proceed to college after graduation.
- Decrease student violence and incidents that lead to disciplinary action.

Goal #3: Close identified achievement and performance gaps among disaggregated student groups

- Identify achievement and performance gaps between and among disaggregated student groups.
- Address identified achievement and performance gaps resulting in measurable gains in performance.

Goal #4: Establish a collaborative learning environment that will result in high participant satisfaction ratings

- Implement the student/advisor program pairing every student with an adult advocate.
- Increase parental involvement through a system in which adult advocates and parents are in contact on a regular basis.
- Involve local businesses in the development of curriculum.
- Implement and connect work-based learning opportunities for students and staff, including internships and externships.
- Connect work-based learning opportunities for students and staff, including mentorships, internships, and externships.
- Participants will demonstrate high levels of satisfaction with the SLC program.
- Increase students' sense of belonging.

To accomplish these goals and objectives, the District will implement a system-wide plan to create and/or enhance Freshman Academies in all high schools. In addition, the four high schools have identified a number of Career Academies in which students will select to participate through grades 10-12. These include:

- Corcoran: Academies in Environmental Science; Creative Arts; Health & Human Performance and International Baccalaureate Programs
- Fowler: Academies in Math, Science & Technology; Business Technology; and Humanities
- Henninger: Academies in Visual & Performing Arts; Business; Health Careers; and Math/Science
- Nottingham: Academies in Creative Arts; Business; and Health Careers

**Syracuse City School District
Smaller Learning Communities Implementation 2004-2007**

Program Narrative

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RESPONSE TO SELECTION CRITERIA

(a) Need for the Project

(1) Description and extent of need, as related to: (A) student performance; (B) gaps in the performance of all students and that of subgroups; (C) the schools' graduation rate, and gaps between all students and student subgroups; (D) disciplinary actions and reported incidents of violence and of drug and alcohol use; and (E) the percentage of graduates who enroll in postsecondary education, apprenticeships, or advanced training in the semester following graduation, and gaps in student subgroups.

The Syracuse City School District must restructure its large high schools into Smaller Learning Communities. With the challenges facing public education in America today, we must actively seek to provide the best possible scientifically-based educational opportunities for our students. The Syracuse City School District is among the nation's large, urban districts whose students come from economically and experientially impoverished backgrounds with myriad issues and challenges. Like other urban districts, we face some extremely daunting challenges, including:

- improving student achievement on rigorous statewide assessments;
- closing the gap in student performance among different racial and ethnic groups;
- increasing the rate of students who graduate from high school; and
- enhancing student preparedness for success in college or careers upon exiting high school.

Syracuse, the 5th largest school district in New York State, demonstrates great need for restructuring of its high schools. The District serves 21,298 urban students, of whom 5,592 are currently enrolled in 9th-12th grade at four large high schools. Under New York State's component of the NCLB School Accountability System, all four schools are deemed 'low performing'. Three schools (Corcoran, Fowler and Henninger) have been designated as Schools Requiring Academic Progress (SRAP) Year 1 for English language arts (ELA) because they did not make Adequate Yearly Progress (AYP) for two consecutive years. The fourth high school, Nottingham, failed to make AYP for three consecutive years in two subjects, and is thus a SRAP (Year 2) for both ELA and mathematics. As Figure 1 illustrates, the high schools serve diverse populations of learners:

Figure 1: 2004-2005 Enrollment in Syracuse City School District High Schools

High School	Total Enrolled	9 th Grade	10 th Grade	11 th Grade	12 th Grade	Students Eligible for Free or Reduced Lunch		Students with Disabilities		Minority Students		English Language Learners	
						#	%	#	%	#	%	#	%
Corcoran	1,421	508	388	275	250	743	52.3	390	27.4	923	65.0	1	0.1
Fowler	1,272	547	299	259	167	864	67.9	387	30.4	778	61.2	76	6.0
Henninger	1,653	634	428	331	260	859	52.0	421	25.5	842	50.9	0	0.0
Nottingham	1,246	444	308	251	243	632	50.7	314	25.2	792	63.6	121	9.7
TOTALS	5,529	2,133	1,423	1,116	920	3,098	56.0	1,512	27.3	3,335	60.3	198	3.6

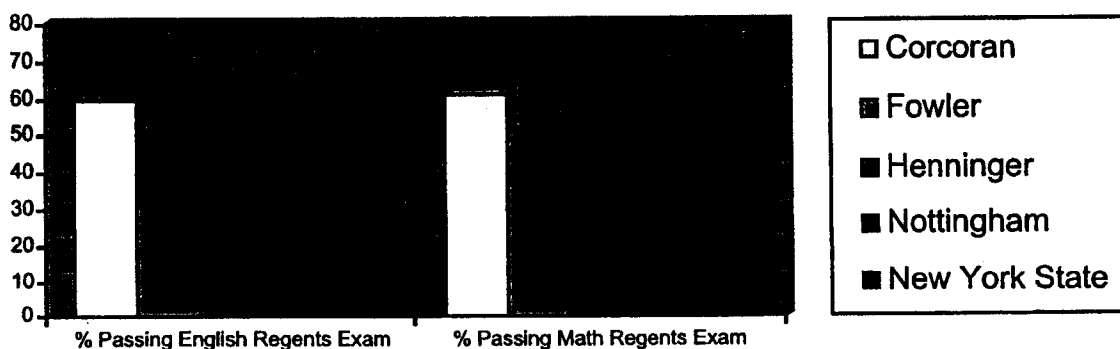
The expectation is that *all* students graduate within four years of entering high school. As **Figure 1** illustrates, however, this is not the reality for a large proportion of Syracuse's students. The number of students enrolled in each grade declines with progression to the next higher grade level. Students in the 12th grade class this year equal roughly 43% of the number of entering freshmen. This year's 920 12th grade students came in large part from a 1999-2000 cohort of 2,110 ninth graders, a decrease of more than 56% in four years. This dramatic difference is indicative of several factors:

- families moving out of the City to suburban school districts (a fact that has led to a decline in the tax base, resulting in significant reductions in school district revenue);
- a low promotion rate (i.e., students are not meeting minimum promotional requirements and are being retained at lower grade levels); and
- a high non-completion or low graduation rate.

Analysis of these and other data affirms the need for Smaller Learning Communities in Syracuse. According to the 2004 New York State Report Card (*Appendix A*), the latest graduation rates in each of the targeted schools are unacceptably low. At Fowler, for example, only 53% of all students from the 1998 cohort graduated within four years. At Corcoran, Henninger and Nottingham the graduation rates are 63%, 61% and 65% respectively. Thus, all schools fall considerably below New York State's cohort graduation rate of 77%.

The rate of Syracuse's students who pass (i.e., receive a score of 65 or better) on New York State Regents Examinations also falls well below the rest of the state, as is illustrated in **Figure 2**:

Figure 2: Percent of 1999 Cohort Passing New York State Regents Examinations After 4 Years



At Fowler, for example, only 41% of the cohort had passed the Regents Examination in Comprehensive English as of June 2003; at Corcoran, 59%; at Henninger, 58%; and at Nottingham, 55%. All three fell considerably

below the 72% demonstrated statewide. Similar results are seen for performance on Regents Examinations in Mathematics.

Analysis of subgroup performance and graduation rates paints an even more troubling picture. **Figure 3** below illustrates the marked discrepancies that exist among disaggregated subgroups. While 67% of the total 1999 cohort had met assessment requirements in English, for example, only 32% of the Hispanic subgroup had done so. Interestingly, math performance among students who were proficient in English fell 13% *below* that of limited English proficient students. Additionally, male students significantly underperformed in comparison to female students in all three accountability categories.

Analysis of post-graduation plans indicates that 43% of the 730 students who graduated from the targeted high schools in 2003 planned on entering a four-year college or university. Another 40% intended to pursue a two-year degree; 3% reported intent to enter the military; and 14% were either going directly into employment or had no post-graduation plans. Again, discrepancies are seen between and among disaggregated subgroups.

Figure 3: Performance on State-Required Assessments, Graduation Rates and Post-Graduation Plans of 1999 Cohort Subgroups After Four Years of High School (as of June 2003)

Student Subgroup from 1999 Cohort	Percent of Cohort Meeting English Requirement*	Percent of Cohort Meeting Math Requirement*	Percent of Cohort Who Graduated	Total # Who Graduated in 2003	# of 2003 Graduates Attending 2-Year College	# of 2003 Graduates Attending 4-Year College	% of 2003 Graduates Attending College
Total of 1999 Cohort	67%	66%	58%	730	290	311	82%
Results by Race/Ethnicity							
American Indian/Alaskan Native	71%	57%	**	4	2	1	75%
African American	56%	50%	58%	257	109	97	80%
Hispanic	32%	36%	35%	7	4	3	50%
Asian or Pacific Islander	80%	87%	**	69	25	34	86%
White	76%	76%	64%	386	150	176	85%
Results by Disability Status							
General Education Students	71%	70%	65%	612	239	296	87%
Students with Disabilities	47%	45%	14%	118	15	51	56%
Results by Gender							
Female	72%	69%	64%	424	168	198	86%
Male	61%	62%	50%	306	122	113	77%
Results by English Proficiency							
English Proficient	67%	65%	58%	697	276	299	83%
Limited English Proficient	50%	78%	45%	33	14	12	79%
Results by Income Level							
Economically Disadvantaged	65%	66%	72%	372	160	94	68%
Not Disadvantaged	68%	65%	53%	358	130	184	88%

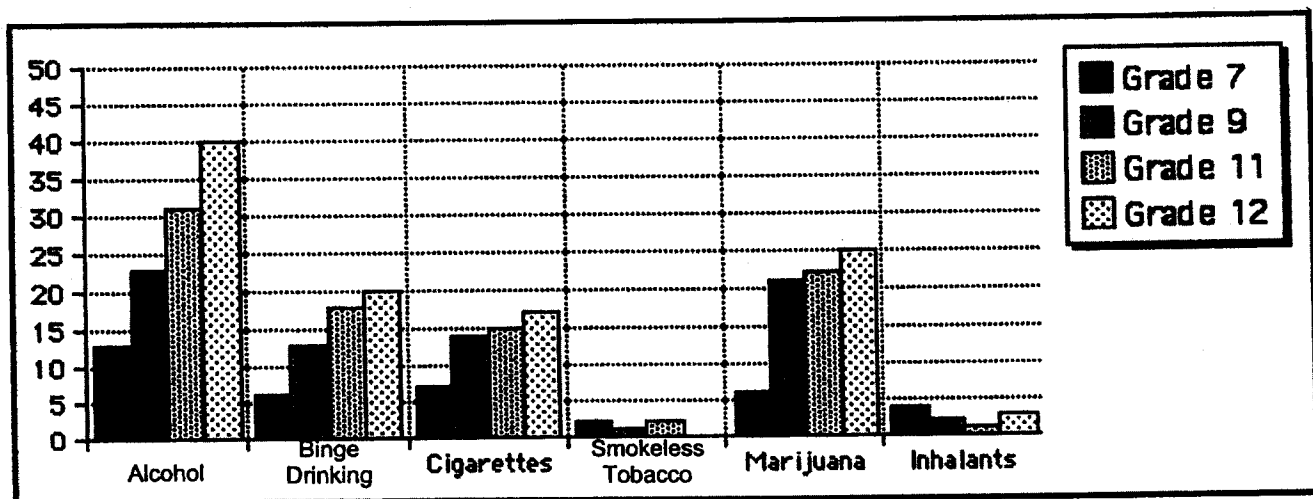
* Includes students who scored 55-64, allowing them to earn a local diploma, as well as those earning a passing score of 65 or higher.

** New York State did not provide data for these subgroups because the sample size was too small for data to be reliable or valid.

For example, **Figure 3** shows that 86% of the District's Asian students went on to 4-year colleges, whereas only 75% of Native American students and 50% of Hispanic students did so. Although the data did not clearly support a correlation between income level and academic performance or graduation rates in **Figure 2**, only 68% of economically disadvantaged students attended college, vs. 88% of the non-disadvantaged population. Of the disadvantaged students who *did* attend college, a far greater percentage attended two-year schools than four-year schools. The converse is true among students who were not impoverished. Gaps such as these are associated with larger schools, and indicate the need to restructure into smaller learning communities.

Syracuse students also exhibit many of the behavioral issues that are generally associated with the impersonal nature of large schools. In the fall of 2000, the Syracuse City School District, in conjunction with the Onondaga County Drug and Alcohol Abuse Commission, administered the *Communities that Care Youth Survey* to 1,088 District students in 7th, 9th, 11th and 12th grades. This survey was designed to measure substance abuse prevalence, as well as risk and protective factors predictive of alcohol, tobacco and other drug use, delinquency, gang involvement and other problem behaviors among adolescents. **Figure 4** represents the percentage of students reporting alcohol, tobacco and other drug use within 30 days prior to the survey's administration. In the case of nearly every substance, prevalence of use increased dramatically in high school.

Figure 4: Past 30-Day Prevalence of Alcohol, Tobacco, Marijuana, and Inhalant Use for Syracuse City School District Students



The *Communities that Care* survey also measures a number of risk factors, or characteristics that are known to increase the likelihood that a student will engage in problem behavior. For example, higher rates of drug problems, truancy, delinquency and violence occur in schools and communities to which people feel little connection. In the Syracuse City School District, students reported a score of 61 on the *Low Neighborhood Attachment* scale, which falls notably above both national average of 50 and the Onondaga County comparison

score of 52. Thus, far fewer students in the District suggest that they feel bonded to their community environment compared to the average student in the nation or the immediate surrounding county.

Student behavior data collected by the District indicates a need for structural and strategic change. The student suspension rate increased more than 17% between 2000 and 2001. In the 2001-02 school year, there were 38,309 suspension violations committed by students, including 8,535 cases of disruptive behavior, 967 counts of striking another student, 1,856 incidents of harassing a student, 1,009 cases of harassing a staff member, 356 counts of possession or use of a dangerous weapon, and 283 counts of destruction of school or personal property. These resulted in 3,452 out-of-school suspensions and 10,029 in-school referrals at the high school level alone.

Even as violent crime is going down in the rest of New York State, the City of Syracuse last year saw its highest number of homicides in a given year. The Syracuse Police Department reports that in one year's time, there was an increase of 185% in incidents of weapons possession among juveniles. These figures are represented in the 4,404 juvenile arrests that occurred in Syracuse in 2002, and are indicative of the need for structural and strategic reform at the high school level.

On a final note, Syracuse has far fewer resources to expend per pupil than do similar school districts with high needs in New York State, or all other NY Districts combined. For example, our budget allows us to spend just \$7,066 per pupil, vs. \$8,185 per pupil in Rochester, Buffalo and Yonkers, or \$8,041 per pupil in all of New York State (see New York State Report Card: Fiscal Accountability Supplement in *Appendix A*.)

- (2) **The SCSD will employ strategies and carry out activities in its implementation of the proposed project that address the needs it has identified in paragraph (1);**

Clearly, the data indicate a need to restructure. The existing research strongly supports our decision to implement smaller learning communities as a means to address the prevalent issues facing our high schools today. Over the course of the next three years, the District will implement a number of Smaller Learning Community (SLC) structures (e.g., freshmen and career academies) and strategies (e.g., freshman transition activities, multi-year groups, alternative scheduling, academic teaming, alternative scheduling and adult advocacy systems), which are shown by research to result in:

- higher academic achievement;
- reduction in the negative effects of poverty on achievement;
- increased ability to address specific challenges and unique needs of student subgroups;
- safer, more orderly schools;
- lower rates of truancy and fewer dropouts;

- increased student affiliation with and investment in the school community;
- higher levels of extracurricular participation;
- greater likelihood of enrolling in post-secondary education;
- higher levels of parent and community involvement and greater satisfaction;
- more positive teacher attitudes and satisfaction; and
- lower costs per student graduated.

It is imperative that we implement the viable plans developed in recent years to enable our large high schools to become smaller learning communities—effective and safe learning environments in which all students feel known, supported and motivated to succeed in school, in college and chosen careers. Awarding of a Smaller Learning Communities Implementation Grant would give the Syracuse City School District the supplemental resources necessary to accomplish this.

(b) Foundation for Implementation

- (1) & (2) Teachers, administrators and other staff within each school support the proposed project and have been and will continue to be involved in its planning, development, and implementation, including, particularly, those teachers who will be directly affected by the proposed project.**

The District and its four high schools have had *no* difficulty in involving and securing the support of school staff and administration for planning, development and implementation of Smaller Learning Communities (SLC). Teachers and other school staff are, in fact, the driving force behind the District's decision to pursue a Smaller Learning Communities Implementation Grant. District and school staff have worked to research and identify effective high school reform structures and strategies. Having received an SLC Planning Grant last year, the high schools have developed viable plans for implementation and have anxiously awaited the release of the SLC Program Application for Grants.

Each of the schools has identified and organized committees of interested teachers and staff members, who have worked tirelessly to develop plans for all facets of SLCs, including 9th grade teaming and freshmen transition activities, career academies, administrative and instructional team restructuring, innovative scheduling, support structures and adult advocacy systems, behavior management, parent involvement and special education needs. The results of the committees' work have been incorporated into each school's final SLC plan.

Evidence of staff commitment and support may be found in *Appendix B*, which contains affidavits that have been signed by nearly every staff member in all four applicant schools. Included among the signatures are those of individuals who will play an integral role in implementing the plans.

- (3) **Parents, students, and other community stakeholders support the proposed project and have been and will continue to be involved in its planning, development, and implementation.**

There is widespread support for restructuring of Syracuse's high schools into smaller learning communities. In the 2000-2001 school year, the Superintendent of Schools charged the high schools with developing focus areas that would serve as the foundation for innovative instruction and systemic change. Each high school convened a focus area planning committee, a diverse group of stakeholders that included district and building administration, teachers, support personnel, parents, students, business partners, community residents and/or institutions of higher education. These committees assisted in determining the schools' focus areas.

In 2002, each of the high schools presented its proposed focus areas to the Syracuse Board of Education Curriculum Committee. Upon review, the Curriculum Committee actively encouraged each school to pursue further planning for restructuring under the new focus areas. In addition, the Curriculum Committee and Area Offices representatives vowed to support the schools in their efforts.

Since then, the schools have garnered a great deal of support and involvement from the broader local community. They have presented their intentions in public forums, and have met with parent groups, representatives of institutions of higher education, community-based organizations and business partners. Evidence of support from the broader community may be found in *Appendix C*, which contains affidavits signed by a diverse range of stakeholders from each of the schools.

The District will continue to involve and secure support from these and other community entities in a number of ways. Their representatives will actively participate in planning initiatives. Furthermore, they will play a critical role in program implementation. State University of New York (SUNY) College of Environmental Sciences, for example, has been instrumental in developing the plan for the Environmental Science Academy at Corcoran, and will continue to play an active role in its implementation. Syracuse University's GearUp has been and will be integrally involved in the development and implementation of all career academies. Evidence of their commitment is contained in the Letters of Support located in *Appendix D*, along with letters from State and local elected officials, employers, community- and faith-based organizations and service agencies.

- (4) **The proposed project is consistent with, and will advance, State and local initiatives to increase student achievement and narrow gaps in achievement between all students and students who are economically disadvantaged, students from major racial and ethnic groups, students with disabilities, or students with limited English proficiency.**

The proposed initiatives are specifically designed to complement and enhance State and local initiatives to increase student achievement and narrow or eliminate gaps among student sub-groups. Our acceptance of the need for Smaller Learning Communities is derived from in-depth analysis of New York State standards and assessment results. The standards drive all changes in curriculum and classroom instruction across the District,

including those proposed under SLC. Student performance data, based upon State standards and assessments, are used to inform decision making about many facets of district functioning—including but not limited to resource allocation, instructional programs, academic intervention and supplemental services, professional development, student support services and school staffing—all of which are addressed in the SLC plans.

The proposed efforts are also grounded in scientifically-based research, in accordance with state and local requirements. Furthermore, the State's standards and reform efforts are aligned with the federal No Child Left Behind (NCLB) Act, whose purpose is "to ensure that all children have a fair, equal and significant opportunity to obtain a high-quality education and reach, at a minimum, proficiency on challenging State academic achievement standards and state academic assessments." Creation of smaller learning communities will allow us to achieve this purpose, ensuring that no child is left behind.

Several years ago, the Superintendent of Schools charged all high schools with identifying career academies under which to focus instruction. The Area Offices had also identified freshman academies as a means to improving student achievement and outcomes. The District was determined to see these initiatives to fruition, and planning began in the 2000-2001 school year. A Smaller Learning Communities planning grant has allowed us to examine such structures, to provide valuable professional development and consensus-building activities, and to complete viable plans for full implementation in every high school in September of 2004.

Several State and local initiatives will support the proposed SLC initiatives, and will ensure their success. For example, Henninger and Fowler High Schools already implement the Health Careers program, funded through Tech Prep. This 'career academy' has successfully served 300-400 students each year for more than eight years, with its own unique curriculum, schedule, core group of teachers and administration. Through higher academic achievement, attendance, graduation and college entrance rates, the Health Careers program has demonstrated the power of Smaller Learning Communities, and serves as a model for all of the schools. The program's developers and staff are committed to assisting the District in implementing new SLC structures and strategies.

Other local and State initiatives, including the Academic Intervention Services (AIS) Plan and Professional Development Plan (PDP), will support SLC. Through the AIS plan, for example, the District will be able to identify struggling students and offer them the additional academic support required under SLC. The PDP and Title IIA funds work together to ensure that all instructional staff throughout the District receive the high-quality, sustained and intensive professional development needed to improve instruction. Activities associated with the PDP and Title IIA will inevitably support and enhance professional development to be carried out as a function of SLC implementation.

Over the last several years, the high schools have phased in block scheduling. The District is also planning on extending the high school day from 6.25 hours (8:00-2:15) to 7.5 hours (7:40-3:20), with flexible hours for school staff. This initiative would support SLC implementation in a number of ways. Students would have more time to engage in: rigorous Advanced Placement courses and higher-level electives; academic intervention services; intensive and individualized educational counseling and career guidance; community service learning, work-based internships and field placements; regular meetings with adult advocates; and participation in high-interest, extracurricular activities. Staff schedules will be reconfigured to ensure: common planning time for teacher teams; the opportunity for team-teaching and participation in study groups; and ongoing, embedded, high quality professional development through such means as modeling and coaching.

- (5) **The applicant demonstrates that it has reviewed relevant scientifically based and other rigorous research and carried out sufficient planning and preparatory activities, outreach, and consultation with teachers, administrators, and other stakeholders to enable it to implement the proposed project at the beginning of the school year immediately following receipt of an award.**

Over the past four years, Syracuse City School District and its four high schools have conducted in-depth, critical data analysis to identify and prioritize deficiencies, problems and needs, and to identify the root causes for their existence. The schools have also worked both independently and collectively to study the rigorous research available, to conduct site visits to effective programs, and to determine the strategies and structures that would most effectively address our issues.

According to the research, smaller learning environments would help to address many of the gaps and weaknesses that are highlighted in **(a) Need for the Project**. For example, analysis of Syracuse's disaggregated data indicates sizeable academic discrepancies among students of various racial/ethnic and socioeconomic backgrounds. According to the National Center for Education Statistics in 2001, many African American and Latino students who graduate from high school do so with reading and mathematics skills at the middle school level. We must work to close these achievement gaps, and smaller learning communities have demonstrated effectiveness in promoting academic equity. In *School Size, Poverty and Student Achievement* (2000), Howley and Bickel concluded that smaller schools "reduced the harmful effects of poverty on student achievement by up to 50%." Furthermore, they assert that the effect of smaller schools is most promising for ethnic minority students from low-income families.

Academic proficiency levels and the rate of students who take and pass New York State Regents Examinations are unacceptably low in Syracuse. We must work to improve the performance of students on rigorous statewide assessments. According to Kathleen Cotton's *Summary of Findings from the Research on School Size* (2000), smaller schools have been shown to support higher academic achievement as measured by school grades, test scores, honor roll membership, subject-area achievement, and higher-order thinking skills assessments.

Currently, fewer than 43% of Syracuse's graduates report intent to attend a 4-year institution of higher education, and many report that they have no post-graduation plans at all. We must work to assist students to make informed career choices, and to increase the number of students who pursue life-long learning. According to the 2000 report *Small Schools, Great Strides: A Study of New Small Schools in Chicago* (Wasley, Fine, Gladden, et. al), more students from small high schools pass core classes and go on to college.

The official graduation rate in Syracuse is unacceptably low. One root cause for this finding is a sense of alienation, often a factor associated with large schools. We must reduce the percentage of students who drop out or fail to complete diplomas, and ensure that students are attending and benefiting from school. Studies show that smaller schools reduce the sense of alienation, resulting in higher attendance and lower dropout rates. Although all high schools in Syracuse offer rigorous, challenging courses, availability is currently limited to relatively few students. Smaller schools have been shown to offer higher-level curricula, and to provide the support students need to succeed in more challenging courses.

Violence and aggressive behavior are serious issues in Syracuse. According to James Garbarino, Director of Cornell University's Family Life Development Center, smaller schools are the first step to reducing violence among adolescents. Dr. Garbarino's research also shows that participation in extracurricular activities, which has been directly associated with positive behavioral outcomes, has been shown to be higher in smaller schools.

In light of the research, Syracuse will implement at least two SLC structures in each of its four high schools: Freshman Academies and Career Academies. In 2000, the Philadelphia Education Fund conducted a study on the 9th-grade Success Academy, concluding students in 9th grade academies or teams were more likely to pass their core subjects, to be promoted to the 10th grade, and to show gains on standardized achievement tests. The researchers also found that suspensions dropped dramatically, students' attendance improved, classroom experiences improved, students felt more supported and showed more interest in learning.

The Career Academy Support Network (CASN) defines a career academy as a "type of school-within-a-school that provides a college-preparatory curriculum with a career-related theme." After a significant amount of research, Stern, Dayton, and Raby (2000) from CASN found that career academies are among the most solid building blocks for restructuring American high schools, resulting in accelerated growth in the number of career academies in recent years. CASN found primary evidence that grouping high school students and teachers into career academies in grades 10-12 leads to improved attendance, school climate, and proficiency in mathematics. In addition, they found that career academies within larger high schools help improve students' academic performance and reduce the number of students who drop out of high school.

Kemple and Snipes' Executive Summary on Career Academies by the Manpower Demonstration Research Corporation (2000) found that career academies impact students by increasing the level of interpersonal support students experience during high school, and through participation in career awareness and work-based learning activities. As a result, there is substantial improvement in outcomes among students at high risk of dropping out.

One SLC strategy that each school has undertaken and will continue is that of alternative scheduling, specifically block scheduling. An article that appeared in Education World (2001) compared data of two years prior to initiating block scheduling in Angola High School in Indiana to results after two years on block scheduling. Researchers discovered that students' grade-point averages increased in almost all subjects; students earned higher state-proficiency exam scores; and students made significant improvement in ACT College Board scores. In addition, attendance improved for motivated students.

The high schools have coordinated all available resources—including an SLC Planning Grant, Title IIA Professional Development funds, GearUp and Tech Prep grants, as well as local funds—to engage in the activities necessary to ensure preparedness to implement SLC in September of 2004. They have recruited and convened committees to address such issues as curriculum and assessments, innovative scheduling, staff development, student recruitment, teacher teams, behavior management and parent/community support for Smaller Learning Communities. They have invited representatives of successful SLC high schools and experts in innovative scheduling and academy-related content to conduct presentations and provide guidance. They have visited successful Smaller Learning Communities high schools; a group from each of the high schools has just returned from a site visitation to school in the Bronx who have successfully undergone SLC restructuring. They have presented their plans to community groups, business partners and the Board of Education, and have garnered a great deal of support, as evidenced in *Appendices B and C*. Thus, the Syracuse City School District and its four large high schools are fully prepared—and *eager*—to implement Smaller Learning Communities in September of 2004.

(c) Quality of Project Design

- (1) **The proposed project ensures that a core group of teachers and other adults within the school know the needs, interests, and aspirations of each student well, closely monitor progress, and provide the academic and other support needed to succeed.**

The fundamental purpose of Syracuse's SLC program is to create small, safe and successful learning environments in which all students feel known, supported and motivated to succeed in college and chosen careers. We will accomplish this by implementing academy structures in each high school. The staff of each academy will consist of a school administrator (e.g. a vice principal) and interdisciplinary teacher teams. Recognizing that the most effective school restructuring initiatives generally use multiple strategies to gain the

full benefit of a small learning environment, each of the high schools has incorporated a number of SLC strategies into their implementation plans, including adult advocates/mentors, multi-year groups, alternative (block) scheduling, freshman transition activities and academic teaming.

Each school has developed a plan to implement or enhance Freshman Academies, under which teacher teams, administration and support personnel will work closely with ninth graders to ensure their successful transition to 10th grade. The schools have also adopted site-specific focus areas that will allow for the implementation of 10th-12th grade Career Academies, as follows:

Corcoran High School is pursuing its plans to become a Center for Career Leadership and Community Involvement. The program at Corcoran will incorporate academies in Visual & Performing Arts, Environmental Studies, Health & Human Performance and the International Baccalaureate (IB) Diploma Programme. The IB program is a rigorous pre-university course of studies, meeting the needs of highly motivated secondary school students. The IB program exposes students to humanities and the sciences, and offers challenging study in Languages, Experimental Sciences, Arts and Electives, Mathematics, and Individuals and Societies.

Fowler High School has already begun to operate with a school-wide Math, Science and Technology theme. Under the MST magnet program, Fowler will restructure into academies that consist of such disciplines as Pre-engineering, Health Careers, Business Technology, Art Technology, Information Governance, Meteorology and Information Exchange. Entrance into an academy will begin in 10th grade, with students completing a *WorkKeys* Assessment, designed to help them determine how well prepared they are for careers that interest them, and to guide them toward the education and training they will need. Students in each Academy will explore and create a plan for college or career through the use of a College Board-created and -approved career exploration tool, *MyRoad*. All students will be involved in field trips, job shadowing and internships, which will provide them with hands-on experience in their field of study. Graduation from any academy at Fowler will require students to create a professional resume, maintain a portfolio and write a college essay.

Henninger High School has developed a viable that includes implementation of a Creative Arts Academy, through which the school will provide a course series that meets the needs identified by 2- and 4-year higher education institutions for art study at the college level. Henninger already has a strong art department that houses the *only* active chapter of the National Art Honor Society in New York State. In addition, Henninger offers its students nine credit hours of college art courses, and has piloted the State University of New York at Oswego's Master Degree Art Education student teaching program. Smaller Learning Communities funds will also be used to enhance the Health Careers academy, and to implement new academies in Business Technology

and Math/Science. All programs will incorporate an inclusion component to address the needs of Henninger's substantial population of students with special needs.

Nottingham High School will implement a career academy in Creative Arts, to be followed in subsequent years by academies in Business and Health Careers. Nottingham will also create a state-of-the-art, self-contained career and educational center to provide students and community members with resources and guidance to support their exploration of higher education and career development. The career center program will incorporate job-shadowing, field trips, seminars and workshops, internships, resume writing, portfolio development, interviewing and job search techniques. The career center is scheduled to open in September of 2004, and will be fully operational by April of 2005.

The plans in each high school have been created to ensure that, within a three-year period, *all* students will self-select and enroll in a smaller learning community. In accordance with the statute, the schools will not assign any student to a smaller learning community on the basis of ability or any other measure, nor will placement be pursuant to testing or other judgments. Middle and high school guidance staff will work with students and their parents, who will select the appropriate smaller learning community. In the rare instance in which students or parents fail to choose, students will be placed in their smaller learning communities by random assignment.

Upon entering an academy, every student will be assigned an adult advocate or advisor who will closely monitor progress and facilitate academic and support mechanisms throughout the students' high school experience. Advisors will communicate regularly with parents to ensure that they are integrally involved in their child's education. Teachers will also contact parents as often as necessary for students who are falling behind in academic achievement or exhibiting other issues, including the need to be *more* challenged.

Academy teacher teams will have common planning time that will be utilized to examine individual student needs and to develop strategies that will ensure student success. Teams will share a common group of students, which will enable teachers to work together to identify individual learning styles, to engage the students in integrated, interdisciplinary learning, to structure and coordinate academic class activities (e.g., assessments and project due dates), and to communicate with each other about their students in order to individualize enrichment, prevention, and intervention strategies. The team structure will support a sense of community that will result in an increase in students' sense of belonging.

- (2) & (3) The proposed project is likely to improve overall student achievement and other outcomes, to narrow any gaps in achievement between all students and student subgroups, and will implement accelerated learning strategies and interventions for all students, particularly those below grade level, that will ensure student success.

Syracuse's SLC project plan will not only ensure the opportunity for all students to engage in curriculum that is **more rigorous**; students will also be able to enroll in a greater *number* of challenging classes. First, all of the

high schools have worked with institutions of high education and business partners to develop rigorous new curricula, resulting in new courses founded in scientifically-based research. Corcoran High School, for example, will offer new elective courses in *Anatomy and Physiology* and in *Sports Journalism* as a function of its Academy for Health and Human Performance. Likewise, Nottingham will offer *Anthropology and Art* as a function of its new Creative Arts Academy. Other more challenging courses that may offer **both high school and college credit** will be offered through such new options as the International Baccalaureate program, additional Advanced Placement (AP) courses through the Advanced Placement Incentive grant recently awarded the District, and Syracuse University Project Advance (SUPA). As technical courses are developed for each of the career academies, students will be able to add those choices to their college prep curriculum. Students will also have the opportunity to gain technical skills and knowledge through participation in internships, community service learning opportunities and job shadowing experiences, seminars and workshops.

The innovative scheduling proposed will allow additional time for all students to enroll in a greater number of challenging classes as well. Whereas the current schedule often forces students to choose between a required course and an elective, students will now be able to enroll in both. Furthermore, the academies will be able to provide **more academic support to struggling students** because students will have more instructional time to engage in Academic Intervention Services (AIS). Through the State-mandated AIS plan (*see Appendix E*), every school must develop and implement procedures to use multiple measures to identify any student who is at risk of failing to meet standards in core curriculum areas. Schools must then provide age-appropriate, scientifically-based materials and services in response to assessment results. Examples of academic services include: doubling instructional blocks; extending curriculum requirements to cover a 5-year period; Saturday classes; classroom staffing that reduces student/teacher ratios; and before- or after-school tutorials. Examples of support services include: mentoring; peer tutoring; bi-weekly progress updates; provision of transportation; study groups and pairing students with community agencies. The innovative scheduling proposed under SLC will allow considerably more time and opportunity for students to receive the support they need to ensure that they are able to master more challenging content. The AIS plan identifies scheduling and time requirements, level-of-intensity requirements and minimum staff qualifications based upon the extent of academic need exhibited. For example, a student who exhibits low level academic need may attend tutoring before school with a certified teaching assistant, whereas a student who exhibits high level need might require double instructional blocks with a highly qualified, certified teacher.

Every student in a Smaller Learning Community will receive **more intensive and individualized counseling and career and college guidance**. Upon entering an academy, every student will be paired with an adult advisor who will serve as a mentor and advocate. Advisors will assist students in assessing their strengths and weaknesses, as well as their interests and aspirations. They, in conjunction with guidance staff, will work with

students to identify their career and educational goals and to develop their Individual Learning Plans (ILP's). Advisors will closely monitor progress toward achievement of specified goals, and will modify ILP's along the way. They will serve as advocates, facilitating communication among teachers, other school staff and parents on the students' behalf.

Advisors will also facilitate students' participation in career and educational advisement services available in each high school. Each of Syracuse's four large high schools has, or will have, a functioning career center designed to provide students with the resources and guidance to support exploration of higher education and career development. Advisors and guidance counselors will ensure that every student has access to valuable career development services, including WorkKeys, My Road (collegeboard.com's college and career planning services) and ARISE's career program for students with disabilities.

The strategies to be implemented as a function of our Smaller Learning Communities plan are **likely to result in increases in promotion, attendance and graduation rates**. Our plan parallels Kathleen Cotton's summary of the latest research on the most effective Smaller Learning Communities, in that we have incorporated the following into the Freshman and Career Academies plans:

- Separateness and Distinctiveness – every student will be assigned to an individual and distinct academy;
- Self-selection of Teachers and Students – academy membership will be based upon shared interest in the academy's focus;
- Flexible Scheduling – academies will have the ability to alter the schedule in response to students needs;
- Thematic Focus – each academy will focus on a specific theme;
- Detailed Planning – academy implementation will have been preceded by comprehensive planning and preparation afforded through an SLC planning grant;
- Knowing Students Well – teacher teams and the student advisor system will ensure that students are known;
- Heterogeneity – all academies will be grouped heterogeneously;
- Looping – the 10th-12th grade career academies will ensure that students and teachers are together for multiple years;
- Parent and Community Involvement – parents and community members serve as integral partners;
- Integrated Curriculum and Teaching Teams – traditional subject area boundaries have been abandoned; and
- Accountability and Credibility – student achievement is the ultimate indicator of success.

(4) The proposed project will provide high-quality, sustained and intensive professional development

According to Victoria L. Bernhardt (2002), professional development for educators "cannot be perceived as a luxury for only the few who want to take advantage of the variety of interesting opportunities. Professional development must be aligned to a thoughtful, shared school vision for student success." Our high schools

embrace the notion that professional development is the foundation for systemic change, and that improving the knowledge and skills of teachers will result in improved performance of students. Thus, professional development is critical to the successful implementation of our SLC plan. The District will coordinate SLC implementation funds with those received through Title IIA: Professional Development and other sources to offer high-quality, sustained intensive professional development.

Nearly all school staff members have already participated in staff development as a function of last year's SLC planning grant. Over the next three years, school leaders, instructional staff, business partners and parents will participate in professional development on a number of topics critical to achieving the goals and objectives of our Smaller Learning Communities implementation plan. Topics are likely to include the following:

SLC Focus Areas	Research Based Staff Development Focus Areas	
Academies	<ul style="list-style-type: none"> • Team Building and Planning • Alternative Scheduling 	<ul style="list-style-type: none"> • Career Education • Technical Training
National Standards/Curriculum	<ul style="list-style-type: none"> • Curricular Integration • Technology Skills Training • Distance Learning 	<ul style="list-style-type: none"> • International Baccalaureate Training • Curriculum Mapping • Advanced Placement Training
Intervention/Achievement	<ul style="list-style-type: none"> • Student/Advisor Programs • Learning Styles • Authentic Assessment 	<ul style="list-style-type: none"> • Collecting, Analyzing and Using Data to Improve Achievement
Instructional Strategies	<ul style="list-style-type: none"> • Experiential Learning • Project-Based Learning • Problem-Based Learning 	<ul style="list-style-type: none"> • Cooperative Learning • Differentiated Instruction • National Board Certification
Partnership Enhancement	<ul style="list-style-type: none"> • Developing Business Partnerships • Articulation Agreements 	<ul style="list-style-type: none"> • Internships and Externships • Mentorships
Parental Involvement	<ul style="list-style-type: none"> • Career Planning • College Planning 	<ul style="list-style-type: none"> • Parents as Partners
Character Education	<ul style="list-style-type: none"> • Character Education • Community of Caring 	<ul style="list-style-type: none"> • Service Learning

Some of the above topics will be addressed in after-school, weekend or summer workshops; other topics will be presented during contractual Superintendent's Conference Days for all staff members; yet other topics will be covered through job-embedded modeling and coaching. In addition, many staff members will participate in business externships. These work-based experiences will provide a wealth of knowledge for teachers to share with students, and will enable them to relate course content to the real world.

Our staff development will be guided by the NSDC Standards for Staff Development, the AFT's Principles for Professional Development and the Syracuse City School District's Professional Development Plan (*Appendix F*), which will ensure that all professional development will be developed collaboratively, will be research based, will focus on quality teaching for all students, and will involve all stakeholders.

As recommended by Tom Guskey (1995) we will evaluate our staff development on a regular basis looking at four areas: (1) Participant Reaction (How did you feel about the activity?); (2) Participant Learning (What new skills/knowledge did you acquire?); (3) Participant use of new skills/knowledge (Survey participants and observe their classrooms to see if the new skills/knowledge are being used to improve student learning); and (4) Results (Has the professional development improved student achievement?)

- (5) **The proposed project provides the participating schools sufficient flexibility and autonomy to enable school administrators, teachers, other school staff, and parents to participate as full partners in the implementation of the proposed project.**

The proposed Smaller Learning Communities in each of the District's large high schools will have the flexibility necessary to succeed. Academies will be granted enough freedom and authority to make decisions regarding a number of key issues, including space, scheduling, budget, curriculum, pedagogy, instruction, assessment and personnel. Each academy, with a core group of teamed teachers, will fall under the instructional leadership of a vice principal, who will have the administrative authority to approve and support proposed initiatives.

Each academy will have its own distinct curricular focus and will operate separately from other academies within the same school. In many cases, they will have their own distinct physical identity, residing in a separate wing of the school. If they haven't already done so, the academies' constituents—including administrators, faculty, students, parents, community members and external partners—will develop and adopt their own vision and mission, and will be granted enough autonomy to implement the activities and initiatives necessary to bring their ideas to fruition.

(d) Quality of the Management Plan

- (1) **The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities and detailed timelines and milestones for accomplishing project tasks; and the extent to which the plan provides cross-school planning and implementation activities as part of a single, coherent, district-wide reform strategy.**

The goals and objectives of Syracuse's Smaller Learning Communities program are as follows:

Goal #1: Collaboratively refine and effectively implement SLC structures in all high schools

Objective 1.1: Align curriculum with NYS standards & assessments.

Objective 1.2: Align curriculum to reflect the needs of the workforce.

Objective 1.3: Implement Freshman Academies and Career Academies in all 4 high schools.

Objective 1.4: Provide more focused curriculum reflecting business and industry standards in addition to NYS standards.

Objective 1.5: Help teachers optimize instructional delivery through ongoing professional development and support.

Objective 1.6: Implement more research based teaching strategies.

Goal #2: Improve student achievement and performance to meet or exceed local, state and national standards

Objective 2.1: Increase student performance on NYS Regents examinations to meet or exceed NYS Standards.

Objective 2.2: Increase student attendance rates.

Objective 2.3: Increase student graduation rates.

Objective 2.4: Increase the number and percentage of students meeting promotional requirements in grades 9-12.

Objective 2.5: Increase the rate of students who proceed to college after graduation.

Objective 2.6: Decrease student violence and incidents that lead to disciplinary action.

Goal #3: Close identified achievement and performance gaps among disaggregated student groups

Objective 3.1: Identify achievement and performance gaps between and among disaggregated student groups.

Objective 3.2: Address identified achievement and performance gaps resulting in measurable gains in performance.

Goal #4: Establish a collaborative learning environment that will result in high participant satisfaction ratings

Objective 4.1: Implement the student/advisor program pairing every student with an adult advocate.

Objective 4.2: Increase parental involvement by implementing a system in which teachers, adult advocates and parents are in contact on a regular basis.

Objective 4.3: Involve local businesses in the development of curriculum.

Objective 4.4: Implement and connect work-based learning opportunities for students and staff, including mentorships, internships and externships.

Objective 4.5: Connect work-based learning opportunities for students and staff, including mentorships, internships, and externships.

Objective 4.6: Participants in the collaborative learning environment (students, parents, teachers, business partners) will demonstrate high levels of satisfaction with the SLC program.

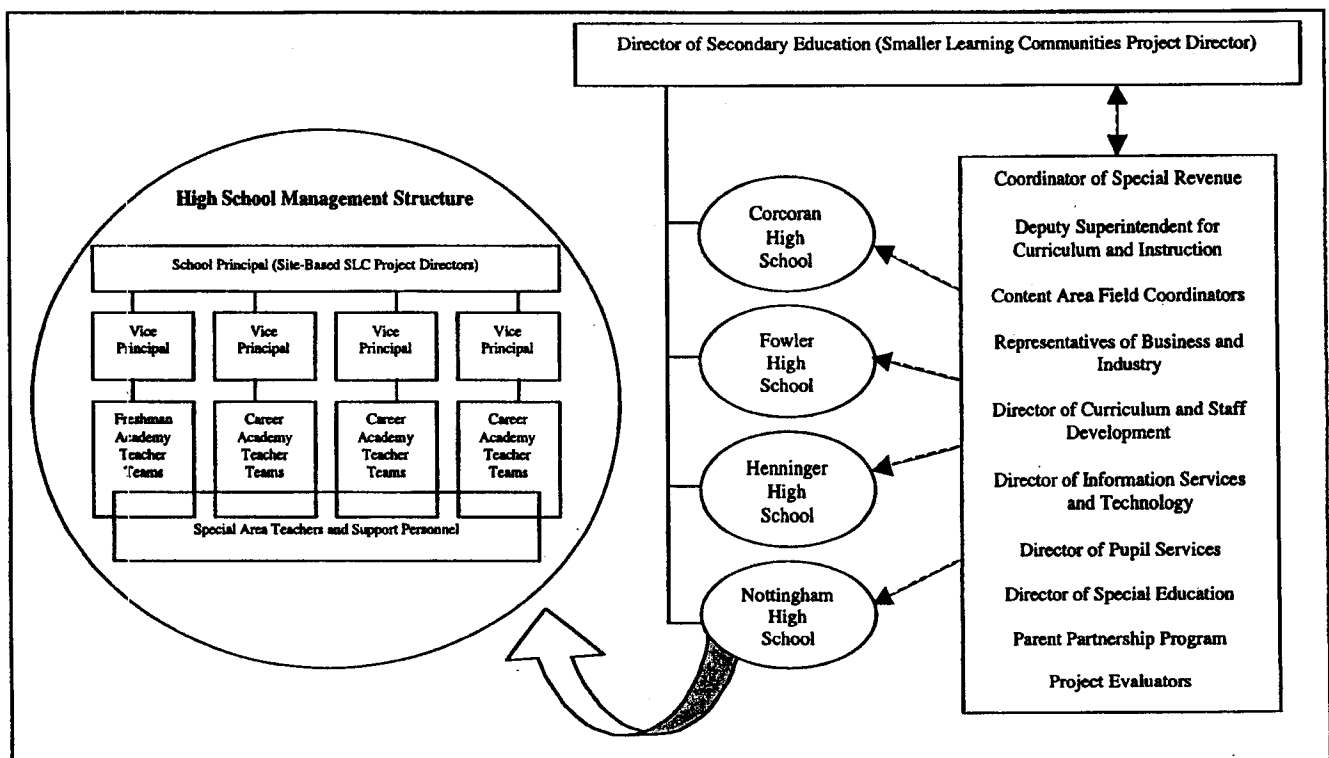
Objective 4.7: Increase students' sense of belonging.

We will achieve these goals and objectives on time and within budget by carefully coordinating resources and existing efforts. In the interest of ensuring autonomy and flexibility for schools and their academies, each school has developed its own timeline identifying key activities and the individuals responsible for carrying them out. Due to space constraints, these timelines are located in *Appendix G*.

As the SLC Management Structure chart on the following page illustrates, the Director of Secondary Education will serve as the project director, overseeing district-wide implementation of Smaller Learning Communities. He, in conjunction with the principals in each of the targeted high schools, will have primary responsibility for ensuring the success of SLC efforts. He will schedule frequent meetings with principals and key SLC staff in the schools to monitor progress and address issues on an ongoing basis, and will address issues central to SLC in Principals' Academies, Superintendent's Conference Days and Summer Leadership Institutes. Furthermore, the Project Director will serve as the schools' liaison to:

- the *Coordinator for Special Revenue*, who will ensure integration and coordination of SLC activities with initiatives operating through other funding sources, such as the Advanced Placement Incentive grant, Titles II Part A and II Part D, Title IV, Tech Prep, GearUp, and Byrne Grants;
- the *Deputy Superintendent for Curriculum and Instruction* and *Content Area Field Coordinators*, who will ensure that newly-developed curricula are research-based and aligned with State standards and assessments;

- *representatives of business and industry*, who will review curricula and course content to ensure alignment with business standards and the needs of today's workforce;
- the *Director of Curriculum and Staff Development*, who will ensure that the professional development needs of Academy teachers are identified and systematically addressed through high-quality, sustained professional development and support initiatives;
- the *Director of Information and Technology Services*, who will ensure that the schools and evaluators have immediate access to technology, technical support and student data;
- the *Director of Pupil Services*, who will ensure that SLC activities incorporate effective guidance and career services, and complement and are consistent with alternative and character education initiatives;
- the *Director of Special Education*, who will ensure that initiatives meet the needs of students with disabilities; and
- the *Project Evaluators* from the State University of New York at Oswego, who will ensure the successful implementation of the evaluation plan and reporting of results to stakeholders.



The Project Director will convene an Advisory Committee consisting of a broad range of stakeholders, which will meet at least twice per year to monitor progress in achieving program goals and to recommend modifications to the plan. He will also convene subcommittees, consisting of stakeholders representing each school, who will meet on a regular basis to address key issues and concerns. For example, the cross-school group that met during the planning phase to discuss and develop the plan for Freshman Academies and 9th grade

transition activities will continue to meet throughout the project period to monitor progress and make modifications.

The principals in each of the schools will serve as Site-based Project Directors, and Vice Principals will serve as the instructional leaders for each of the academies. Two of the schools—Corcoran and Nottingham—will reallocate existing staff to carry out all proposed SLC activities. The other two schools, Henninger and Fowler, require an additional half-time certified teacher to facilitate program implementation, and to teach career courses or freshman practicum classes. In addition, the schools will contract with outside experts, such as those from McREL, State University of New York's College of Environmental Science and Forestry and the Institute for Human Performance, whose expertise and experience will be used to enhance the quality of the plan.

- (2) **The extent to which the time commitments of the project director and other key personnel, including the individuals who will have primary responsibility for implementing the project at each school, are appropriate and adequate to achieve the objectives of the proposed project.**

The Project Director and other key personnel are thoroughly committed to the project, and have already demonstrated the capacity to allot adequate time for its implementation. Having received a Smaller Learning Communities planning grant last year, the District-level administrators and school staff identified have invested a great deal of time in researching effective practices and strategies, conducting site visits, attending planning meetings, garnering school and community support and providing or participating in professional development. Planning for Smaller Learning Communities has become a part of the school and District culture, and the time devoted to SLC preparation will carry over as the District and its schools transition from the planning phase to implementation. Furthermore, the vice principals will assume responsibility for instructional leadership of individual academies. As such, they will dedicate *all* of their time to ensuring their chosen academy's success.

- (3) **The qualifications, including relevant training and experience, of the project director and other key personnel**

All key personnel are highly qualified, certified teachers and/or administrators with experience in providing academic and support services to students in the Syracuse City School District. The Project Director has served as the District's Director of Secondary Education for nearly four years. The four high school principals have nearly 86 years among them as educators in the Syracuse City Schools, with 14 years combined as principals. The principals and vice principals—along with other key instructional staff in the schools—have the knowledge and expertise to effectively implement Smaller Learning Communities. Through the District's Administrators' Academies, Staff Development Academies and Summer Leadership Institutes, *all* current administrative staff have participated in intensive, sustained professional development facilitated by nationally-known leaders, including *Dimensions of Learning* and *Identifying and Sharing Effective Instructional Practices* (with Debra Pickering), *Supervision and Evaluation of Instruction* (with Andy Platt) and *The Change Process* (with Joanne

Quinn). They have also undergone extensive training on such topics as team building, group facilitation and cognitive coaching.

(4) Adequacy of resources. In determining the adequacy of resources for the proposed project, we consider:

- (A) The extent to which the budget is adequate and costs are directly related to the objectives and design of the project;**
- (B) The extent to which the applicant will use funds provided under the ESEA, the Carl D. Perkins Vocational and Technical Education Act, or other Federal programs, as well as discretionary grants provided by the State or private sources, to support the implementation of the project; and**
- (C) The potential for continued support of the project after Federal funding ends.**

The requested budget, in conjunction with local, State and other federal resources, will cover all proposed activities. The large majority of funds will be expended at the school building level. Administrative costs will be limited to the District's negotiated indirect cost rate of 2.7%.

All proposed expenditures are reasonable and consistent with the examples of allowable activities illustrated in the Federal Register and application guidelines. They include:

- extensions of service, substitute charges and related fringe benefits for professional staff to participate in professional development relating to staff needs and the goals of the smaller learning communities;
- temporary, part-time staff required to facilitate implementation activities in two of the four high schools;
- contractual charges with institutions of higher education, business partners and other experts to provide staff development and consultation on restructuring opportunities, best instructional practices and evaluation;
- travel expenses associated with required professional development and regional SLC meetings, and student field study opportunities related to academy content;
- some equipment, including computers to accommodate business, technology and arts academies' requirements and career center needs; Accelerated Electronics Program test packs to meet needs of engineering curriculum; and lumber and posts for the Environmental Science Academy's nature trail;
- supplies and materials to support implementation of academies; and
- minor remodeling costs for a nature trail at Corcoran; a blackroom at Nottingham; and a graphic arts studio at Henninger.

The District and its applying high schools will commit considerable state, local and other federal dollars to the implementation of Smaller Learning Communities. Key District personnel, whose salaries are covered under a variety of funding sources, will be instrumental in ensuring program success. SLC initiatives have been coordinated with the development of School Improvement Plans, Local Assistance Plans and the District's Strategic Plan. Furthermore, initiatives under the Smaller Learning Communities Program have been coordinated with other opportunities—including those funded under Gear Up, Tech Prep, Title IV: Safe and Drug Free Schools, and Title II Part A—to ensure effective and efficient use of all resources. The District has also just been awarded a two-year U.S. Department of Education Advanced Placement Incentive grant, whose

purpose is to increase the number of traditionally underrepresented (low-income, minority) students taking Pre-AP and AP courses by developing and offering such courses in English, math, science and other core academic areas. As a result, the schools will see an increase in higher-level courses and the availability of technology to support advanced coursework, as well as after-school and summer enrichment activities.

It is important to note that the District has already begun to budget for the restructuring of local, state and federal allocations to ensure that the high schools may sustain implementation plans at the conclusion of the planning process. For example, there is discussion of diverting existing State Magnet monies to the high schools for this purpose. Furthermore, the District's Office of Special Revenue has already begun to explore possible competitive funding sources to sustain SLC implementation efforts, such as Federal Magnet and Technology Opportunities Program funds, and corporate or foundation grants such as those offered through the Bill and Melinda Gates Foundation.

(e) Quality of Project Evaluation

- (1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals objectives, and outcomes of the proposed project.

To ensure that the methods of evaluation are *thorough* the SLC Coordination Team worked closely with external evaluation directors from the School of Education at SUNY Oswego to develop a comprehensive evaluation model. The evaluation plan is based on an action research approach assessing three main variables: a) participant acceptability or satisfaction with SLC project components, b) the extent to which project components are implemented with integrity; and c) the effectiveness of the project or the extent to which the desired outcomes were achieved. For the purposes of the evaluation, project participants will include parents, students, teachers, guidance counselors/support staff, administrators, and the coalition of business partners that convene regularly to inform the project revision. Program evaluation activities will be ongoing and involve both formative and summative evaluation procedures. True to the action research model, evaluation of participant acceptability information as well as project integrity and effectiveness data will be collected in an ongoing manner with results periodically presented to the SLC coordination team. These results will then be used to inform program revision in a formative manner. This evaluation process will be continued with the next round of data informing further revision until project goals and objectives are met.

To ensure that the designed evaluation methods are *feasible* the SLC Coordination Team and SUNY Oswego Evaluators reviewed the project goals/objectives as well as the desired performance indicators and selected measurement methods that were deemed to be accurate, valid, and reliable yet minimally intrusive to participants. In order to increase feasibility the proposed evaluation procedures will rely on a) data routinely collected and reported by the project schools (school and student performance data, attendance, graduation rates,

etc.); b) information collected via participant focus and/or study groups; c) participant survey and rating scale information collected in an online format with confidentiality assurances maintained; and d) information gained from locally developed project integrity checklists.

To ensure that the methods of evaluation are *appropriate to the goals and objectives of the proposed project* the evaluation activities are directly aligned with project goals and objectives, as illustrated in *Appendix H: SLC Goals, Objectives and Evaluation Activities*.

Evaluation of these programmatic goals and activities will inform ongoing formative program evaluation activities to assist individual schools and the District to meet annual and triennial outcome performance objectives. These performance objectives represent specific annual outcomes that will be used to assess the overall success of the project. These specific performance indicators, performance objectives, and data collection methods are listed in *Appendix H: Performance Outcome Assessments*.

- (2) **The extent to which the evaluation will collect and annually report accurate, valid, and reliable data for each of the required performance indicators, including student achievement data that are disaggregated for economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency.**

The Syracuse City School District regularly collects and reports annual student performance data related to: (a) **academic achievement** (percent of students meeting annual yearly proficiency levels on the NYS English/Language Arts and Math assessment, passing rates on NYS Regents Exams and Regents Competency Exams in English, Math 1 & 2, Global History/Geography, and US History/Government, grade promotion rates, enrollment and achievement in Advanced Placement Courses, percent of students meeting graduation requirements, achievement gains in English proficiency for Limited English Proficient students, and number and percent of students taking and successfully passing Second Language Proficiency Examinations); (b) **attendance and discipline** (referring to attendance rates and discipline data including days of suspension, number of superintendent hearings and Manifestation Determination Reviews, expulsions, types of infractions, and incidents of violence, weapon use or possession and drug use or possession); and lastly (c) **post-graduation success** (the percent of students enrolling in postsecondary education and training, and the percentage of students entering employment).

All of the data described above is currently disaggregated across dependent variables by ethnicity or race, disability status, English proficiency status, economic status, gender, grade, and school. The SCSD has collected three years of baseline data on these variables and will continue the careful collection and analysis of disaggregated data necessary to fulfill the SLC reporting requirements. The SLC Project Evaluators will assist the SCSD to compare expected outcomes for participating students to baseline levels and achieved performance

levels associated with this grant. Project evaluators will also be responsible for presenting outcome results to program participants and the community to inform ongoing formative revision of the project.

(3) The extent to which the evaluation will collect additional qualitative and quantitative data that will be useful in assessing the success and progress of implementation

Performance indicators, annual and three-year performance objectives and data collection methods are indicated in Appendix H: Performance Outcome Assessments. The Syracuse City School District will also participate in national evaluations of the Smaller Learning Communities grant program as required. Additionally, the Project Evaluators will produce mid-year formative reports summarizing participant satisfaction with the program, the integrity of program implementation, and a summary of recommendations for program revision. This information will be derived from participant surveys, focus group discussions, and procedural integrity checklists. These reports will be presented to the SLC coordination team to inform revision of the program specifically focused on improving participant satisfaction, project implementation, and ultimately project outcome. Progress toward identified yearly performance outcomes will be assessed during the summer and presented to the SLC design team in August.

4) The extent to which the methods of evaluation will provide timely and regular feedback to the LEA and the school on the success and progress of implementation, and identify areas for needed improvement.

Program evaluation activities will be ongoing and involve both formative and summative evaluation procedures. The evaluation of participant acceptability data as well as project integrity and effectiveness data will be collected in an ongoing manner with results presented to the SLC coordination team in a mid year report to inform program revision in a formative manner. Following midyear formative revisions the evaluation will focus on yearend outcomes, in essence assessing the implementation and impact of program changes toward the attainment of desired outcomes. These yearly summative results will be reported in the yearend report in August. These annual outcome assessments will also be used in a formative manner with progress toward identified outcomes used to further shape program implementation and design. This ongoing evaluation and process is also described in the introduction to section (e)3. The timeline for implementation of the evaluation, included in *Appendix H*, lists the key evaluation activities and assessment procedures.

5) The qualifications and relevant training and experience of the independent evaluators.

James McDougal, Psy.D., is an Assistant Professor in the Counseling and Psychological Services Department at the State University of New York at Oswego. He obtained his doctorate from and APA Approved program in School Psychology at the State University of New York at Albany and was formerly the Mental Health Coordinator for the Syracuse City School District. Dr. McDougal has 11 years of experience as a practicing

school psychologist and has considerable experience in program design, evaluation, and staff development. He has participated in several large applied empirical evaluations including the School Based Intervention Team Project (McDougal, Clonan, & Martens, 2000) and the Behavior Counsultation Team Project (McDougal, Chafouleas, & Nastasi, In press). In addition he has consulted on other grant-funded evaluations including the Positive Behavioral Intervention and Support (PBIS) Program, funded in part by the Hamilton Fish Foundation and the Violence Prevention Project at Syracuse University and the Safe Schools Healthy Student Grant implemented in the Syracuse City Schools.

Michael LeBlanc, Ph.D., Assistant Professor in Counseling & Psychological Services, at SUNY Oswego, NY, holds a doctorate in Counselor Education from the University of Toledo with an emphasis on measurement and statistics. He has experience in program evaluation and has served as a research design and statistical consultant for public and private organizations. He also teaches coursework in research design, assessment, and statistics. Dr. LeBlanc will be responsible for the development of local evaluation instruments, conducting focus groups, coordinating data collection, and analyzing the project data.

Drs. McDougal and Leblanc will act as the SLC Project Evaluators and will bring their considerable knowledge and experience to this project. Both Evaluators are housed in the School of Education at the State University of York College at Oswego allowing them to frequently collaborate on this project. Please refer to the complete curricula vitae (included in *Appendix H*) for a more detailed listing of the experiences of the project evaluators.

Statement Regarding Absolute Priority:

The Syracuse City School District is committed to implementing a coherent set of strategies and interventions that are designed to ensure that all students who enter high school with reading/language arts or mathematics skills that are significantly below grade level “catch up” quickly so that, by no later than the end of 10th grade, they acquire the reading/language arts and mathematics skills they need to participate successfully in rigorous academic courses that will equip them with the skills necessary to transition successfully to postsecondary education, an apprenticeship or advanced training. Such strategies and interventions will:

- be grounded in scientifically-based research;
- include the use of age-appropriate materials and strategies;
- provide additional instruction and support during the school day, and will be supplemented by instruction that is provided during off-school hours; and
- provide sustained professional development and ongoing support for teachers and other personnel responsible for delivering instruction.

Budget Narrative

The proposed budget is necessary and adequate to support the initiatives that will lead to full implementation of Smaller Learning Communities in the Syracuse City School District's four high schools.

1. PERSONNEL

Teachers' extensions for additional meetings, curriculum writing and ongoing staff development during off-school hours	Corcoran High School: • 400 hours X \$23.32 (school year rate) • 170 hours X \$31.50 (summer rate)	9,328 5,355
	Fowler High School: • 454 hours @ \$23.32 (school year) • 240 hours @ \$31.50 (summer)	10,588 7,560
	Henninger High School: • 1500 hours @ \$23.32 (school year) • 1200 hours @ 31.50 (summer)	34,980 37,800
	Nottingham High School: • 600 hours @ \$23.32 • 1,000 hours \$31.50 • 20 substitute days for teachers attending meetings, conferences or workshops @ \$75/day	18,656 31,500 1,500
Project facilitator to assist in implementation of Freshman and Career Academies	Fowler High School: 1/2-time teacher @ \$39,000/FTE (Year 1) = \$19,500 1/2-time teacher @ \$40,365/FTE (Year 2) = \$20,183 1/2-time teacher @ \$41,778/FTE (Year 3) = \$20,889	60,572
	Henninger High School: 1/2-time teacher @ \$39,000/FTE (Year 1) = \$19,500 1/2-time teacher @ \$40,365/FTE (Year 2) = \$20,183 1/2-time teacher @ \$41,778/FTE (Year 3) = \$20,889	60,572
TOTAL PERSONNEL:		\$278,411

2. FRINGE BENEFITS

Employee benefits related to Personnel cost above, calculated as follows: Social Security @ 6.2% Medicare @ 1.45% Workers' Comp @ .63% Teacher Retirement @ 2.52% Unemployment @ \$281/FTE Health Insurance @ \$9,033/FTE Dental Insurance @ \$828/FTE	Corcoran High School: Calculated in accordance with federal and state laws and collective bargaining contracts	1,586
	Fowler High School: Calculated in accordance with federal and state laws and collective bargaining contracts	23,716
	Henninger High School: Calculated in accordance with federal and state laws and collective bargaining contracts	29,616
	Nottingham High School: Calculated in accordance with federal and state laws and collective bargaining contracts	5,579
TOTAL FRINGE BENEFITS:		\$60,497

3. TRAVEL

Staff travel: Costs to include transportation fares, mileage, registration fees, lodging, meals, tolls, parking fees and related expenses	Corcoran High School <ul style="list-style-type: none">• 12 teachers to attend Int'l Baccalaureate certification training @ \$400/teacher• teachers to attend conferences and workshops• Project facilitator to attend regional conferences	4,800 3,000 3,500
	Fowler High School: <ul style="list-style-type: none">• Academy staff to conduct site visitations and attend workshops for curriculum development• Project facilitator to attend regional conferences	12,500 3,500
	Henninger High School: <ul style="list-style-type: none">• Project facilitator to attend regional conferences	3,500
	Nottingham High School: <ul style="list-style-type: none">• Project facilitator to attend regional conferences• Academy staff to attend workshops/conferences	3,500 7,000
Student travel: Costs to include transportation fares, charter bus contracts, mileage, registration fees, lodging, meals, tolls, parking fees and related expenses	Fowler High School: <ul style="list-style-type: none">• admission fees for student field study trips to enhance instruction/serve as academic incentive• contract with chartered buses for student field study• student attendance at regional and nat'l conferences• college visitations	8,000 7,000 9,000 10,000
	Henninger High School: <ul style="list-style-type: none">• chartered bus transportation for students to participate in job shadowing and internships	19,000
	Nottingham High School: <ul style="list-style-type: none">• bus service for student participation in practicums and internships• travel costs for 40 Business Academy students to participate in DECA State competition• travel costs for 10 Business Academy students to participate in DECA National competition	4,000 9,200 20,000
TOTAL TRAVEL:		\$127,500

4. EQUIPMENT

Durable equipment required to support implementation of Academies	Corcoran High School <ul style="list-style-type: none"> • (20) laptop computers with networked printers and mobile pod @ \$1,500 each • (2) kilns to support VPA Academy @ \$3,000 each • Lumber, posts and joists for development of Environmental Science Nature Trail adjacent to school 	30,000 6,000 31,000
	Fowler High School: <ul style="list-style-type: none"> • Wireless laptop pod bundled with projector, software, digital cameras, printers and printer supplies for in-class investigative learning • IBM server required to update computer lab to meet needs of MST Academy curriculum • Accelerated Electronics Program test pack to support engineering curriculum (12 @ \$5,400) • Sound system to allow for implementation of interdisciplinary lessons 	18,000 7,500 64,800 3,000
	Henninger High School: <ul style="list-style-type: none"> • (8) computers for graphic arts studio @ \$1,250 • (25) computers for upgrade of tech lab to meet needs of Business Academy and to serve Career Center for ALL academies 	10,000 33,000
	Nottingham High School: <ul style="list-style-type: none"> • (20) classroom computers for teacher teams to input grades, maintain and update student files and compile parent report @ \$1,250 • equipment required by Arts Academy for development of blackroom 	25,000 7,500
	TOTAL EQUIPMENT:	235,800

5. SUPPLIES

Classroom supplies to support Academy curricula	Corcoran High School • miscellaneous supplies to include microscopes and other science lab supplies, periodicals, sheet music and instruments, books, etc.	70,500
	• library collection	40,000
	Fowler High School: • miscellaneous supplies to include books, musical instruments, art supplies, academic achievement incentives, lab materials, etc.	13,841
	Henninger High School: • drawing tables (25 @ \$400) to meet needs of Arts Academy	10,000
	Nottingham High School: • supplies and materials to support implementation of Creative Arts Academy, to include materials for blackroom • supplies to support implementation of Health Careers Academy, to include microscopes, defibrillators, stethoscopes, etc.	14,328 12,000
Professional resources	Corcoran High School • to include curriculum guides, reference books, videos, etc.	4,144
	Fowler High School: • to include curriculum guides, reference books, videos, etc.	2,536
	Henninger High School: • to include curriculum guides, reference books, videos, etc.	2,000
	Nottingham High School: • to include curriculum guides, reference books, videos, etc.	3,000
Technology and computer-related supplies	Fowler High School: • to include technology presentation test pack for Accelerated Electronics Program	2,000
	Henninger High School: • software licenses	645
	Nottingham High School: • 30 computers @ \$995 needed to upgrade business lab and support Career Center	29,850
	• computer supplies, to include scanners, printers and cartridges	4,000
TOTAL SUPPLIES:		\$208,844

6. CONTRACTUAL

Purchased services and consultants required for implementation of Freshman and Career Academies	Corcoran High School	
	• Contract with SUNY Oswego for evaluation	15,000
	• Contract with SUNY-ESF for classroom presentations and curricular support	4,500
	• Contract with Center for Human Performance for classroom presentations and curricular support	4,000
	• Contract with Int'l Baccalaureate for ongoing training and certification for IB teachers	14,400
	Fowler High School:	
	• Contract with SUNY Oswego for evaluation	15,000
	• Contract with technological consultant for computer installation and technical support	3,000
	• Contract with Change of Heart for teacher training	4,000
	• Contract with web expert to consult on web design course	500
	• Contract with Microsoft for Mouse Certification Teacher Test	1,000
	• Contract to allow students to take SAT and plan tests in their sophomore years (300 students X \$15)	4,500
	Henninger High School:	
	• Contract with SUNY Oswego for evaluation	15,000
	• Contracts with consultants, guest speakers, artists in residence and business partners	20,000
	Nottingham High School:	
	• Contract with SUNY Oswego for evaluation	15,000
	• Contract with McREL for staff development and support in implementing Freshman Academy	15,000
	• Contract with SUNY Health Science Center for staff development and direct instruction to Health Careers students	20,000
	• Contract with New Justice to provide ongoing Conflict Resolution training and services to Freshman Academy students	15,000
	• Contract with Syracuse University Maxwell School of Communication to facilitate program implementation	10,000
	• Purchased services from businesses to facilitate implementation of work-based learning opportunities	8,000
TOTAL CONTRACTUAL		\$183,900

7. CONSTRUCTION

Minor remodeling to accommodate Academy requirements	Corcoran High School • Contract with TBD vendor for installation of Nature Trail for Environmental Science Academy	45,000
	Henninger High School: • remodeling of classroom to create graphic arts studio	16,000
	Nottingham High School: • reconfiguration of art rooms, to include installation of blackroom, for Creative Arts Academy	12,500
TOTAL CONSTRUCTION:		\$73,500

8. INDIRECT COSTS

Based upon New York State-approved, negotiated fixed rate of 2.7%	Corcoran High School • \$292,113 X 2.7%	7,887
	Fowler High School • • \$292,113 X 2.7%	7,887
	Henninger High School: • • \$292,113 X 2.7%	7,887
	Nottingham High School: • • \$292,113 X 2.7%	7,887
TOTAL INDIRECT COST:		\$31,548

SUMMARY OF FEDERAL FUNDS REQUESTED BY CATEGORY:

1. PERSONNEL	278,411
2. FRINGE BENEFITS	60,497
3. TRAVEL	127,500
4. EQUIPMENT	235,800
5. SUPPLIES	208,844
6. CONTRACTUAL	183,900
7. CONSTRUCTION	73,500
8. INDIRECT COSTS	31,548

Total Federal Funds Requested: \$1,200,000

SUMMARY OF FEDERAL FUNDS REQUESTED BY SCHOOL:

Corcoran		Fowler		Henninger		Nottingham	
Personnel:	14,683	Personnel:	78,720	Personnel:	133,352	Personnel:	51,656
Fringe Benefits:	1,586	Fringe Benefits:	23,716	Fringe Benefits:	29,616	Fringe Benefits:	5,579
Travel:	11,300	Travel:	50,000	Travel:	22,500	Travel:	43,700
Equipment:	67,000	Equipment:	93,300	Equipment:	43,000	Equipment:	32,500
Supplies:	114,644	Supplies:	18,377	Supplies:	12,645	Supplies:	63,178
Contractual:	37,900	Contractual:	28,000	Contractual:	35,000	Contractual:	83,000
Construction:	45,000	Construction:	0	Construction:	16,000	Construction:	12,500
Indirect Costs:	7,887	Indirect Costs:	7,887	Indirect Costs:	7,887	Indirect Costs:	7,887
Total: \$300,000		Total: \$300,000		Total: \$300,000		Total: \$300,000	

**7. Budget Narrative
NON-FEDERAL (IN-KIND) CONTRIBUTION**

IN-KIND PERSONNEL

.2 FTE program liaisons in each of four high schools for 3 years	<p>Corcoran: (b)(4)</p> <ul style="list-style-type: none"> • L. Cosgrove @ • L. Cosgrove @ • L. Cosgrove @ <p>Fowler:</p> <ul style="list-style-type: none"> • D. Maynard @ • D. Maynard @ • L. D. Maynard <p>Henninger:</p> <ul style="list-style-type: none"> • L. LaBella-Mc • L. LaBella Mc • L. LaBella Mc <p>Nottingham:</p> <ul style="list-style-type: none"> • D. DeJohn @ • D. DeJohn @ • D. DeJohn @ 	
TOTAL In-Kind Personnel Contribution		(b)(4)

In-Kind Fringe Benefits

Employee benefits related to personnel costs, calculated as follows:			
	(b)(4)	Year 1:	(b)(4)
Social Security		Year 2:	
Medicare		Year 3:	
Workers' Comp			
Teacher Retirement			
Unemployment @			
Health Insurance @ \$			
Dental Insurance @			
TOTAL In-Kind Fringe Benefits Contribution:			

In-Kind Budget Summary:

Personnel:
Fringe Benefits:

TOTAL NON-FEDERAL (IN-KIND) CONTRIBUTION:

(b)(4)

**Syracuse City School District
SMALLER LEARNING COMMUNITIES IMPLEMENTATION GRANT**

Information Addressing Section 427 of GEPA

The Syracuse City School District serves a highly diverse population of students and families, many of whom are designated as having special needs. In fact, more than 20% of the District's students receive special education services, English language learners comprise nearly 5.5%, and students whose families live in poverty represent 67.4% of the total population. Thoughtful consideration is taken in developing every federally-assisted District program in an effort to ensure equitable access to and participation by students, teachers and other program beneficiaries with special needs.

The District has implemented many programs and services in an effort to ensure that *all* students, particularly those in historically underrepresented populations, receive equitable access to quality programs and services. In fact, the intent to plan for Smaller Learning Communities came about, in part, in recognition of the need to promote academic equity. Small schools have demonstrated effectiveness in closing the achievement gap between economically advantaged and disadvantaged students, and among students of various ethnic or racial groups. Smaller schools will afford teachers, support staff and administration the opportunity to individualize instruction and support services to meet the unique needs of all students, particularly those with special needs

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

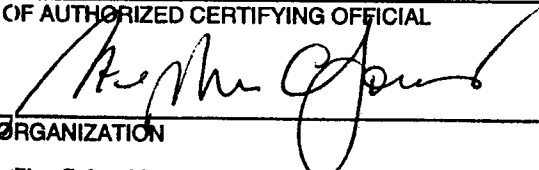
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 		TITLE Superintendent of Schools
APPLICANT ORGANIZATION Syracuse City School District		DATE SUBMITTED 4/29/01

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;


(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT Syracuse City School District		PR/AWARD NUMBER AND / OR PROJECT NAME Smaller Learning Communities Implementation	
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Dr. Stephen C. Jones, Superintendent of Schools			
SIGNATURE 		DATE 4/29/04	

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion — Lower Tier Covered Transactions


This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these Instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT Syracuse City School District	PR/AWARD NUMBER AND/OR PROJECT NAME Smaller Learning Communities Implementation
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Dr. Stephen C. Jones, Superintendent of Schools	
SIGNATURE 	DATE 4/29/04

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure.)

Approved by OMB

0348-0046

1. Type of Federal Action: <input checked="checked" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input checked="checked" type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input checked="checked" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input checked="checked" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Syracuse City School District 725 Harrison Street Syracuse, New York 13210 Congressional District, if known: 25	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency: U.S. Department of Education	7. Federal Program Name/Description: Smaller Learning Communities Implementation CFDA Number, if applicable: 84.215L	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature  Print Name: Dr. Stephen C. Jones Title: Superintendent of Schools Telephone No.: (315) 435-4164 Date: 4/27/2004	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

General Education Provisions Act (GEPA)
Equitable Access and Participation
Section 427

Yukon Public Schools and the proposed *Smaller Learning Communities Program Grant* (CFDA #84.215L) assure compliance with section 427 of the General Education Provisions Act. Yukon Public Schools ensures equitable access to, and participation in, the *Smaller Learning Communities Program Grant*, as well as all other federally funded programs for students, teachers, and other program beneficiaries with special needs.

Yukon Public Schools foresees no reason the facilities, staff, or any element of the program will impede access to services available at this time. However, if for any reason any of the above are limited in any way by facilities, staff or any element of the program, all steps necessary will be taken to ensure equal access to all students, teachers, community members or other program beneficiaries with special needs.

Yukon Public Schools assures equal access to the *Smaller Learning Communities Program Grant* to special needs students and will follow the guidelines of Individual Education Plans (IEP) implemented during the regular school day.

Yukon Public Schools will make a special effort to provide access equally to each gender through special news releases, male and female staff, equal time access, gender equitable curriculum, and instructional equality.

Finally, a plan to ensure equal dissemination of information to Native American, Afro-American, and Hispanic students and families includes working with surrounding Indian Nations and Hispanic and Afro-American communities to disseminate information about the project, and to provide equal services to all, regardless of race and/or cultural background.

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance program; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

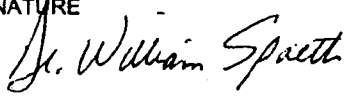
DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT Yukon (Oklahoma) Independent School District		PR/AWARD NUMBER AND / OR PROJECT NAME Smaller Learning Communities Program	
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Dr. William Spaeth, Superintendent of Schools			
SIGNATURE 		DATE 4-21-04	

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion — Lower Tier Covered Transactions


This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT Yukon (Oklahoma) Independent School District	PR/AWARD NUMBER AND/OR PROJECT NAME Smaller Learning Communities Program
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Dr. William Spaeth, Superintendent of Schools	
SIGNATURE 	DATE 4-21-04



Certification of Eligibility for Federal Assistance in Certain Programs

I understand that 34 CFR 75.60, 75.61, and 75.62 require that I make specific certifications of eligibility to the U.S. Department of Education (ED) as a condition of applying for Federal funds in certain programs and that these requirements are in addition to any other eligibility requirements that ED imposes under program regulations. Under 34 CFR 75.60 – 75.62:

I. I certify that:

A. I do not owe a debt, or I am current in repaying a debt, or I am not in default (as that term is used at 34 CFR Part 668) on a debt:

1. To the Federal Government under a nonprocurement transaction (e.g., a previous loan, scholarship, grant, or cooperative agreement); or
2. For a fellowship, scholarship, stipend, discretionary grant, or loan in any program of ED that is subject to 34 CFR 75.60, 75.61, and 75.62, including:
 - Federal Pell Grant Program (20 U.S.C. 1070a, et seq.);
 - Federal Supplemental Educational Opportunity Grant (SEOG) Program (20 U.S.C. 1070(b), et seq.);
 - State Student Incentive Grant Program (SSIG) 20 U.S.C. 1070c, et seq.);
 - Federal Perkins Loan Program (20 U.S.C. 1087aa, et seq.);
 - Income Contingent Direct Loan Demonstration Project (20 U.S.C. 1087a, note);
 - Federal Stafford Loan Program, Federal Supplemental Loans for Students [SLS], Federal PLUS, or Federal Consolidation Loan Program (20 U.S.C. 1071, et seq.);
 - William D. Ford Federal Direct Loan Program (20 U.S.C. 1087a, et seq.);
 - Cuban Student Loan Program (20 U.S.C. 2601, et seq.);
 - Robert C. Byrd Honors Scholarship Program (20 U.S.C. 1070d-31, et seq.);
 - Jacob K. Javits Fellows Program (20 U.S.C. 1134h-1134l);
 - Patricia Roberts Harris Fellowship Program (20 U.S.C. 1134d-1134g);
 - Christa McAuliffe Fellowship Program (20 U.S.C. 1105-1105i);
 - Bilingual Education Fellowship Program (20 U.S.C. 3221-3262);
 - Rehabilitation Long-Term Training Program (29 U.S.C. 774(b));
 - Paul Douglas Teacher Scholarship Program (20 U.S.C. 1104, et seq.);
 - Law Enforcement Education Program (42 U.S.C. 3775);
 - Indian Fellowship Program (29 U.S.C. 774(b));
 - Teacher Quality Enhancement Grants Program (20 U.S.C. 1021, et seq.);

OR

B. I have made arrangements satisfactory to ED to repay a debt as described in A.1. or A.2. (above) on which I had not been current in repaying or on which I was in default (as that term is used in 34 CFR Part 668).

II. I certify also that I have not been declared by a judge, as a condition of sentencing under section 5301 of the Anti-Drug Abuse Act of 1988 (21 U.S.C. 862), ineligible to receive Federal assistance for the period of this requested funding.

I understand that providing a false certification to any of the statements above makes me liable for repayment to ED for funds received on the basis of this certification, for civil penalties, and for criminal prosecution under 18 U.S.C. 1001.

Dr. William Spaeth
(Signature)

4-21-04
(Date)

Dr. William Spaeth, Superintendent of Schools
(Typed or Printed Name)

Name or number of ED program under which this certification is being made: CFDA 84.215L

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation

Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Dr. William Spatch</i>		TITLE Superintendent of Schools	
APPLICANT ORGANIZATION Yukon (Oklahoma) Independent School District		DATE SUBMITTED 4-21-04	